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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/862,828

05/22/2001

Neil W. Taylor

971-128

8874

7590

11/03/2005

MICHAEL T. SANDERSON, ESQ  
KING & SCHICKLI, PLLC  
247 NORTH BROADWAY  
LEXINGTON, KY 40507

EXAMINER

SON, LINH L D

ART UNIT

PAPER NUMBER

2135

DATE MAILED: 11/03/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b>		<b>Applicant(s)</b>	
	09/862,828		TAYLOR, NEIL W.	
	<b>Examiner</b>		<b>Art Unit</b>	
	Linh LD Son		2135	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 22 May 2001.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-4 and 7-22 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-4 and 7-22 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftperson's Patent Drawing Review (PTO-948)                                    | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### DETAILED ACTION

1. This office action is responding to the RCE received on 08/18/05.
2. Claims 1-4 and 7-22 are pending.
3. Claims 5 and 6 are canceled.

### ***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-4, and 7-22 are rejected under 35 U.S.C. 102(b) as being anticipated by Slivka et al, US/5493649, hereinafter "Slivka".

4. As per claims 1 and 16:

Slivka discloses "A method for validating executable code resident in an operating system having executable instructions, comprising the steps of: identifying an executable code having an unaltered size (not corrupted)" in (Col 3 lines 1-25, and Col 4 lines 1-5); "calculating an initial score associated with the executable code when the executable code is initially or shortly thereafter loaded into an operating system; saving

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the initial score” in (Col 3 lines 15-43); and calculating a plurality of subsequent score on the executable code; exclusively comparing each of the comparing the subsequent score to the saved initial score and to no other scores;” in (Col 3 lines 43-67); “if the each of the subsequent scores do not vary from the saved initial score, concluding the executable code maintains the unaltered size; and “if any of the subsequent scores vary from the saved score, concluding the executable code has an altered size (Corrupted program code, which is not equal)” in (Col 3 line 67 to Col 4 line 15).

5. As per claims 2, and 13:

Slivka discloses “The method of claims 1 and 8, further comprising the steps of: unloading the executable code from the operating system if the saved score is not equal to the subsequent score” in (Col 5 lines 3-10).

6. As per claims 3 and 17:

Slivka discloses “The method of claims 1 and 16, further comprising the steps of: disabling at least a portion of the executable code if the saved initial score is not equal to any of the subsequent score” in (Col 5 lines 3-10)

7. As per claims 4 and 10:

Slivka discloses “The method of claim 1, wherein the scores are the result of a checksum calculation” in (Col 3 lines 30-35).

8. As per claims 7, 9, and 20:

Slivka discloses "The method of claims 1, 8, and 16, further comprising the steps of: notifying electronically an owner of the executable code if the saved initial score is not equal to any of the subsequent score" in (Col 5 lines 3-10).

9. As per claims 8 and 21-22:

Slivka discloses "A method for disabling executable code which has been modified without authorization having executable instructions, "comprising the steps of: identifying an executable code in an operating system having an unaltered format (not corrupted)" in (Col 3 lines 1-25, and Col 4 lines 1-5); "calculating a score associated with an the executable code exclusively within an operating system of a computing device independent of a system management mode of operation" in (Col 2 line 55 to Col 2 line 5); "calculating subsequent scores, the determining exclusively comparing each of the subsequent scores to the score with no other score comparisons occurring; and disabling the executable code if the score is not equal to any of the subsequent scores" in (Col 3 line 67 to Col 4 line 15).

10. As per claims 11-12, and 18:

Slivka discloses "The method of claims 8 and 16, further comprising the steps of: receiving one or more additional scores periodically on the executable code and disabling the executable code if any of the subsequent score is not equal" in (Col 3 lines 40-60).

11. As per claim 14:

Slivka discloses "The method of claim 8, further comprising the steps of:  
assisting in the loading of the executable code, if not disabled, to a memory of an  
operating system wherein the executable code resides" in (Col 5 lines 3-10).

12. As per claim 15:

Slivka discloses "The method of claim 8, further comprising the steps of:  
registering the executable code if not disabled; and recording a history if the executable  
code is disabled" in (Col 5 lines 3-10).

13. As per claim 19:

Slivka discloses "The method of claim 16, wherein the subsequent score is  
received each time the executable code is initiated in the memory for an execution" in  
(Col 1 lines 55-67).

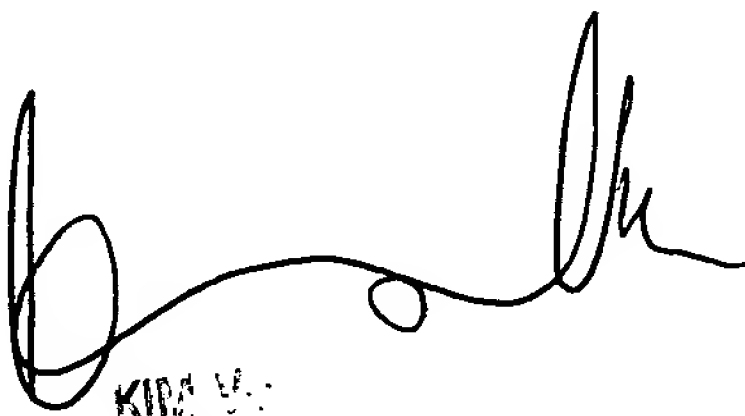
14. Any inquiry concerning this communication or earlier communications from the  
examiner should be directed to Linh LD Son whose telephone number is 571-  
272-3856. The examiner can normally be reached on 9-6 (M-F).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's  
supervisor, Kim Vu can be reached on 571-272-3859. The fax phone number for the  
organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Linh LD Son  
Examiner  
Art Unit 2135



KIM V.  
SUPERVISOR, PATENT  
TECHNOLOGY CENTER, LLC